

**Chang, Lisa**

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**From:** Castner, Chris  
**Sent:** Wednesday, September 04, 2013 10:29 AM  
**To:** Mendelman, Krista; Byron, Carrie; Chang, Lisa; Bonifaci, Angela; Wilcox, Michelle; Rylko, Michael; Hanft, Sally; Bonifacino, Gina  
**Subject:** RE: More on this ( discard if not interested: ) RE: Paperwork Reduction Act/Information Collection Rule requirements?

Krista- That is some helpful clarification and recollection. Your recollection of 2011 and 2012 queries on this, do indeed point out why there might be lingering questions.

It shows that we will need to continue to consider the particular circumstances when the assistance agreement is a cooperative agreement ( as most/ all of our Puget Sound awards are).

Thanks for weighing in.

Chris

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**From:** Mendelman, Krista  
**Sent:** Wednesday, September 04, 2013 10:13 AM  
**To:** Castner, Chris; Byron, Carrie; Chang, Lisa; Bonifaci, Angela; Wilcox, Michelle; Rylko, Michael; Hanft, Sally; Bonifacino, Gina  
**Subject:** RE: More on this ( discard if not interested: ) RE: Paperwork Reduction Act/Information Collection Rule requirements?

Hi Chris, Not to beat a dead horse but below is just a bit more context... It is not related to the subaward question but does relate to grants vs. cooperative agreements.

Your conclusion below is the logical conclusion...not to require it from our "grantees". This is the conclusion that HQ came to back in 2010 when we started through the approval process for 8 of the WMA cooperative agreements. At the time there was a blanket statement that if the agreement was a cooperative agreement, the awardee would need to go through the ICR process. However, HQ looked at the situation under the WMA cooperative agreements, they said we didn't have to go through the process because EPA didn't ask for the surveys and we were not going to be involved in developing or carrying out the surveys. So we did not do go through an approval process for those grantees and did not condition their agreements. However, it is my recollection that in 2011 or 2012 that a different decision was made by the NEP program in which they said that any cooperative agreements doing surveys would need to go through the ICR process. They went back to the blanket determination that a cooperative agreement means that EPA will be substantially involved and assumed that involvement includes any surveys under that agreement. I think that is why there remains some confusion over this issue.

Just as an FYI. I did confer with Tony earlier in the summer about one of the WMA cooperative agreements who is doing a survey and we decided to let the HQ decision on the WMA agreements stand even in light of the later NEP decision. We would not require the grantee to go through the process since EPA didn't ask for the survey and we were not involved in carrying it out.

Krista

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**From:** Castner, Chris

**Sent:** Wednesday, September 04, 2013 9:43 AM

**To:** Byron, Carrie; Chang, Lisa; Bonifaci, Angela; Wilcox, Michelle; Mendelman, Krista; Rylko, Michael; Hanft, Sally; Bonifacino, Gina

**Subject:** More on this ( discard if not interested: ) RE: Paperwork Reduction Act/Information Collection Rule requirements?

For anyone interested –

I found the attached document while doing a search on EPA's ICR website: <http://intranet.epa.gov/icrintra/search.html>

See page 24- 25 , excerpts of which I have copied and pasted below:

*c. When is an agency a sponsor of a grantee? In general, collections of information conducted by recipients of Federal grants do not require OMB approval. On the other hand, an agency is the sponsor of a collection of information undertaken by a recipient of a Federal grant, if the collection meets one or both of the following two conditions: (1) the grant recipient is collecting information at the specific request of the sponsoring agency, 65 or (2) the terms and conditions of the grant require that the sponsoring agency specifically approve the collection of information or the collection procedures. If one or both of these conditions is met, the agency sponsoring the collection needs to seek and obtain OMB approval, and the grantee needs to display the OMB control number on the collection instrument.*

In light of this, I'm now not inclined to require ICRs of our direct grantees either. ( unless either of the 2 conditions described are applicable)

Chris

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**From:** Byron, Carrie

**Sent:** Wednesday, August 28, 2013 4:49 PM

**To:** Chang, Lisa; Castner, Chris; Bonifaci, Angela; Wilcox, Michelle; Mendelman, Krista; Rylko, Michael; Hanft, Sally; Bonifacino, Gina

**Subject:** RE: Paperwork Reduction Act/Information Collection Rule requirements?

Hi all,

Chris and I had a conversation about this recently and he pointed me to this document that Dan Steinborn prepared when the LO agreements were being developed listing which T&Cs passed through to subawards: G:\Baker\1 PUGET SOUND TEAM\Grants\Grants References, training, other resources\Pass-thru Conditions rev 3-7 DIS TRF.docx

This document indicates that this particular T&C does not pass on to subawardees. In fact that's what I just told the Marine and Nearshore LO when they launched their Social Marketing subaward recently, so it would be good to get that information soon.

Thanks!

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**From:** Chang, Lisa  
**Sent:** Wednesday, August 28, 2013 4:18 PM  
**To:** Castner, Chris; Bonifaci, Angela; Wilcox, Michelle; Mendelman, Krista; Byron, Carrie; Rylko, Michael; Hanft, Sally; Bonifacio, Gina  
**Subject:** Paperwork Reduction Act/Information Collection Rule requirements?

Hi all,

I have a situation where a Tribal LO subawardee project involves a survey. Although the "Paperwork Reduction Act/Information Collection Rule" programmatic T&C is in some of our Puget Sound cooperative agreements, for some reason, it was not included in the Tribal LO award.

My understanding is that regardless of whether a Federal requirement is explicitly captured in a T&C in the award document, the recipient is required to comply with all applicable Federal requirements – which would mean that PRA/ICR is applicable to the LOs.

Furthermore, my understanding is that this requirement would flow down to subawardees as well.

Thoughts?

L